

TRM 1202.02 MANAGEMENT CONTROL AND PROGRAM REVIEW



U.S. Department of Justice
Federal Bureau of Prisons

Technical Reference

OPI: PRD
NUMBER: 1202.02
DATE: 11/24/99
SUBJECT: Management Control &
Program Review

Management Control & Program Review

U.S. Department of Justice

Federal Bureau of Prisons

***THIS SAMPLE IS TO BE USED
WHEN ALL DEFICIENCIES HAVE
BEEN CORRECTED**

Washington, DC 20534

May 12, 1998

MEMORANDUM FOR GERALD W. MCGUIRE
SENIOR DEPUTY ASSISTANT DIRECTOR
PROGRAM REVIEW DIVISION

FROM: Rodney Ramer, Warden, FCI Marfa, Texas

SUBJECT: Institution Response
Correctional Services Program Review
March 24-28, 1998

This is our response to the Correctional Services Program Review conducted during the week of March 24-28, 1998. Mary Wilson, Associate Warden (Operations), has scheduled a follow-up review during the week of July 27-31, 1998, to ensure controls are in place to prevent recurrence of all deficiencies identified in the report. All deficiencies have been corrected.

If you have any questions concerning our response, please do not hesitate to contact me.

Area of Concern

The cyclic review of institution supplements is not being consistently completed.

Response: The cyclic monitoring of all institution supplements has been assigned to the Executive Assistant. A schedule has been established that will be coordinated with the perpetual audit that will ensure that institution supplements are being reviewed timely.

Other Deficiencies

All deficiencies in the "Other Deficiencies" section of this report have been corrected.

U.S. Department of Justice

Federal Bureau of Prisons

Washington, DC 20534

May 12, 1998

MEMORANDUM FOR GERALD W. MCGUIRE, SENIOR DEPUTY ASSISTANT DIRECTOR
PROGRAM REVIEW DIVISION

FROM: Rodney Ramer, Warden, FCI Marfa, Texas

SUBJECT: Institution Response
Correctional Services Program Review
March 24-28, 1998

This is our response to the Correctional Services Program Review conducted during the week of March 24-28, 1998. Mary Wilson, Associate Warden (Operations), has scheduled a follow-up review during the week of July 27-31, 1998, to ensure controls are in place to prevent recurrence of all deficiencies identified in the report. All deficiencies, except those noted below, have been corrected.

If you have any questions concerning our response, please do not hesitate to contact me.

SIGNIFICANT FINDINGS

Finding #1: Inmate Accountability

I agree with the program review recommendations and have taken the following corrective action.

All detail supervisors were provided a current Sentry list of their respective details. After verifying the rosters, requests for detail cards or photographs were submitted to the Inmate Systems Manager via memorandum from the responsible department head. After their respective detail kits were updated, the detail supervisors were required to certify completion via

memorandum to the Captain. This has been accomplished. All detail supervisors will henceforth certify the accuracy of the detail kits monthly by memorandum to the Captain.

Finding #2: Key identification and Accountability

I agree with the recommendations and have taken the following corrective action.

All compromised keys and locks have been replaced. Henceforth, notification from the Bureau Security Specialist of compromised keys will be routed through the operations lieutenant who will monitor progress of replacements. A separate bound ledger of compromised keys will be maintained in the lockshop. The security officer will document the date of notification and maintain a chronological record of steps taken to replace the keys and locks. The Operations Lieutenant will be required to review and initial the bound ledger weekly and provide guidance as required.

REPEAT DEFICIENCY

1) Lack of security for SIS office.

As a result of the June 1992 Program Review, it was recommended that the SIS office be reinforced to secure the area from outside unauthorized entry. We formulated plans and requested funding for the renovation; however, with the decision to convert FCI Marfa to a medium security facility, we decided that the lieutenant's office and the SIS office should be relocated to the central compound area. Since we planned to relocate the SIS office, plans for renovation were canceled. The relocation was scheduled to begin in October 1991, but was canceled when activation of Charlie Unit (regional population pressure) became our number one priority. With the completion of the activation of Charlie unit, we have regional approval to relocate the lieutenant's and SIS office as originally planned. The work is scheduled to be completed by October 1998.

AREA OF CONCERN

We have taken measures to ensure the perpetual reviews meet their intended results. Each Lieutenant has been assigned specific areas to review. The results of these perpetual reviews are forwarded to the Captain and AW(O), who will ensure the reviews are thorough and completed in a timely manner.

OTHER DEFICIENCIES

All deviations contained in the Other Deficiencies section of the report, with the exception of the following, have been corrected. Fifteen sets of post orders reflect the following discrepancy:

- a. Old memorandums that have previously been incorporated into the current post orders have not been removed from section four (six sets)

Corrective Action: Because of the extensive number of old memorandums, an action plan has been established to ensure that corrective action is completed. The Captain has been assigned the responsibility to direct the removal of the memos. He has assigned the task to the day watch lieutenant who will purge the six sets of post orders by June 12, 1998. The Captain will certify the corrective action and include a periodic review of the post orders for accuracy as part of the perpetual audit.

U.S. Department of Justice

Federal Bureau of Prisons

Washington, DC 20534

August 1, 1998

MEMORANDUM FOR RODNEY RAMER, WARDEN, FCI MARFA, TEXAS

FROM: Mary Wilson, Associate Warden(O)
FCI Marfa, Texas

SUBJECT: Follow-up Review Report
Correctional Services Program Review
March 24-28, 1998

During the period of July 27-31, 1998, a follow-up review was conducted in Correctional Services. As Reviewer-In-Charge (R-I-C), I certify that the deficiencies identified in the Correctional Services Program Review Report dated April 11, 1998, have been resolved with the exception of those noted below. An adequate system of internal controls is in place to ensure continued compliance.

SIGNIFICANT FINDINGS

Finding #1: Inmate Accountability

We randomly checked detail kits for accuracy and found only one kit inaccurate. It should be noted that this discrepancy had already been reported to the Captain via memorandum after a routine detail census check was conducted on December 7, 1997.

On December 9, 1997, at 2:30 p.m., a total institution census count was conducted, and the results were very good. Although ten inmates were out of bounds, they were rapidly identified by the responsible supervisors. During the census, lieutenants on duty observed and assisted where possible. Some staff still needed guidance; however, it was obvious they realized the importance of inmate accountability.

Inmates are now routinely challenged by staff to produce passes when moving. We found no discrepancies and verified that the

Activities Lieutenants are certifying passbook accountability weekly in the passbook log.

Finding #2: Key Identification and Accountability

We reviewed the procedures implemented for replacement of compromised keys and locks and believe they are more than adequate. The Operations Lieutenant is responsible for lockup operations. He routinely visits the lockshop and provides guidance and support where needed.

REPEAT DEFICIENCIES

A thorough review of the Key Control Cross Reference System indicates that the system is now approximately 95 percent accurate. Resolution should be completed by the end of January.

The SIS office is now located in the communications equipment center, and although space is limited, the area is secure and access is controlled.

AREA OF CONCERN

Cyclic review of institution supplements

We have taken measures to ensure that an annual review of institution supplements take place. Each lieutenant has been assigned specific supplements to review. The results of those reviews are forwarded to the Captain and AW(O), who will ensure the institution supplements are in compliance with national policy.

SUMMARY

All discrepancies identified in other sections of the Program Review Report were also reviewed to ensure compliance. Based on our limited follow-up review, we believe the controls are adequate to ensure continued compliance.

Follow-up Review Team:

Mary Wilson, AW(O)
Joe Key, Correctional Supervisor
John Jones, Senior Officer Specialist

U.S. Department of Justice

Federal Bureau of Prisons

Washington, DC 20534

August 1, 1998

MEMORANDUM FOR GERALD W. MCGUIRE
SENIOR DEPUTY ASSISTANT DIRECTOR
PROGRAM REVIEW DIVISION

FROM: Rodney Ramer, Warden, FCI Marfa, Texas

SUBJECT: Request for Program Review Closure
Correctional Services Program Review
March 24-28, 1998

We have completed our follow-up review conducted the week of July 27-31, 1998, for the Correctional Services Program Review. The Follow-Up Review Report from Mary Wilson, AW(O), providing certification of correction is attached for your review.

I hereby certify that I have reasonable assurance that all deficiencies noted in the Correctional Services Program Review Report, dated April 11, 1998, have been corrected (except as noted) and that adequate administrative controls are in place to prevent recurrence. I am requesting that the review be closed.

U.S. Department of Justice

Federal Bureau of Prisons

Washington, DC 20534

December 10, 1997

MEMORANDUM FOR GERALD W. MCGUIRE
SENIOR DEPUTY ASSISTANT DIRECTOR
PROGRAM REVIEW DIVISION

THRU: JAMES P. ANDERSON
SOUTH CENTRAL REGIONAL DIRECTOR

FROM: Rodney Ramer, Warden, FCI Marfa, Texas

SUBJECT: Request to Postpone Correctional Services Program
Review

FCI Marfa is scheduled for a Correctional Services Program Review the week of March 24-28, 1998. I am requesting a six month postponement.

During the week of November 16, 1998, an inmate disturbance caused extensive damage to two housing units and the recreation area. The Correctional Services staff, along with all other staff, have been working diligently to return the institution to normal operations. However, because of the extent of the damage and the disruption to the institution, I am requesting a six month deferral of the review to give staff the opportunity to restore operations and complete the extensive investigations that are ongoing as a result of the disturbance.

Thank you for your consideration in this important matter. If you have any questions or concerns, please advise.

U.S. Department of Justice

Federal Bureau of Prisons

Washington, DC 20534

February 2, 1999

MEMORANDUM FOR RODNEY RAMER, WARDEN, FCI MARFA, TEXAS

FROM: Mary Wilson, Associate Warden (O)
FCI Marfa, Texas

SUBJECT: Operational Review Schedule
Correctional Services

I have scheduled an Operational Review of Correctional Services for the week of March 23-27, 1999. Becky Rodriguez, Inmate Systems Manager, has been designated as Reviewer-In-Charge. Team members are Tom Davis, Captain and Terri Brothers, Special Housing Supervisor.

The Correctional Services Program Review Guidelines, dated September 3, 1996, will be used for the review. I have requested all department heads attend the Lieutenants' meeting next week (Tuesday at 2:00 p.m.) so that we can conduct an institutional risk assessment of some important components and concerns the Captain and I have identified. Any risk areas identified that are not covered by the guidelines will be examined in detail, and review objectives and steps will be developed as required.

If you have any questions or concerns, please advise.

cc: Operational Review File - Correctional Services

U.S. Department of Justice

Federal Bureau of Prisons

Washington, DC 20534

March 1, 1999

MEMORANDUM FOR GERALD W. MCGUIRE
SENIOR DEPUTY ASSISTANT DIRECTOR
PROGRAM REVIEW DIVISION

FROM: Rodney Ramer, Warden, FCI Marfa, Texas

SUBJECT: Request for Extension of Operational Review for
Correctional Services

FCI Marfa is scheduled for an operational review the week of March 23-27, 1999. We are requesting an extension to do our operational review the week of May 3-7, 1999. We realize this is outside of the policy requirement of 10-14 months; however, the Captain will be out of the office for the months of February and March. This extension will allow us to more fully prepare and perform the review process.

Thank you for your consideration in this important matter. If you have any questions or concerns, please advise.

cc: Regional Director

U.S. Department of Justice

Federal Bureau of Prisons

Washington, DC 20534

March 30, 1999

MEMORANDUM FOR RODNEY RAMER, WARDEN, FCI MARFA, TEXAS

FROM: Mary Wilson, Associate Warden (O)
FCI Marfa, Texas

SUBJECT: Operational Review Report
Correctional Services
March 23-27, 1999

Attached is the report for the Correctional Services Operational Review conducted March 23-27, 1999. There was one significant finding and one repeat deficiency identified as a result of this operational review.

Scope of the Review:

The review was a comprehensive examination of Correctional Services operations using the published program review guidelines. Special emphasis areas were:

- a) Ensuring corrective measures implemented for resolution of deficiencies identified in the Correctional Services Program Review of March 1998 have prevented recurrence.
- b) Confiscation and disposition of inmate property.

All aspects of the Correctional Services operations were reviewed during the week. Controls implemented for resolution of the deficiencies identified in the September Correctional Services Program Review were observed in actual operation when possible.

On November 17, 1998, an institutional risk assessment was conducted after the lieutenants' meeting. The lieutenants and institution department heads were asked to discuss any problems or concerns they were having related to Correctional Services.

One trend emerged from the management assessment session. There are problems related to missing inmate personal property. During the last six months, there have been ten administrative remedies and six tort claims pertaining to inmate property. All four unit managers confirmed they had received an unusual number of inmate complaints about property having been confiscated and never returned or accounted for. Institution procedures for the confiscation and disposition of contraband were examined step by step to determine where the greatest risks are. Based on this assessment, several review steps were developed to supplement those in the review guidelines.

Certification:

I certify that the operational review was comprehensive and conducted in accordance with policy. Findings and conclusions are supported in the working papers retained for review by the review team during the next program review.

Attachment

cc: William Anderson, Regional Director
Senior Deputy Assistant Director, Program Review Division

OPERATIONAL REVIEW
CORRECTIONAL SERVICES
FEDERAL CORRECTIONAL INSTITUTION
MARFA, TEXAS

Prepared by:

Becky Rodriguez
Inmate Systems Manager

March 1999

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GENERAL COMMENTS

A thorough operational review was conducted using the Correctional Services Program Review Guidelines. Those areas identified during the March 1998 Program Review as being deficient or identified as a significant finding had good controls in place to prevent recurrence. Although one significant finding and two deficiencies were identified, staff appear willing to improve procedures to readily resolve the problems.

The staff complement of the Correctional Services Department is adequate to meet the needs of the institution most of the time. A rotating schedule is maintained of departments that are responsible for providing emergency coverage. The practice is accepted by all departments and indicates a cohesiveness among staff and contributes to the overall security of the institution. With shrinking resources, the contributions the other departments make to Correctional Services in providing staff coverage assist in obtaining a successful operation.

The systems of control established as a result of the significant findings and repeat deficiency found during the last Correctional Services Program Review are well established in some areas, but could be improved in others. The concept of perpetual reviews, when correctly applied, provides training to lieutenants and serves to improve the overall operation of the department. Additional emphasis on quarterly/monthly perpetual reviews in all the guideline components would minimize future problems in program areas.

SIGNIFICANT FINDING

Significant Finding: Confiscation and Disposition of Inmate
Property

Condition and Effect:

Procedures for the confiscation and disposition of inmate property are inadequate, resulting in the potential for lost property and legal liability.

Evidence:

- A review of the inmate property room and documentation for the confiscated property revealed the following discrepancies:
 - a) Four radios confiscated over the past three months had no record of disposition, and other incident reports could not be located.

- b) Five separate packages of inmate property confiscated were not logged in, and no confiscation form was completed. Over \$300 worth of confiscated postage stamps were found in the property room.
(PS 5511.2, CH 16)

- A review of the confiscated forms revealed that 65 percent have not been filled out completely with the proper disposition noted. Completed contraband forms were found lying on shelves with no organization or attempt to create a filing system.
(PS 5511.2, CH 19)

Cause:

- No single individual has been delegated responsibility for the confiscated property room. All the lieutenants are responsible for the confiscation and disposition of contraband; however, none have taken the initiative to organize the property room or follow-up when required.

Recommendations:

- Train all lieutenants in the proper methods for confiscating and disposing inmate property.
- Assign a lieutenant to the property room to organize and dispose existing contraband items.
- On a quarterly basis, designate a lieutenant with primary responsibility for the property room.

REPEAT DEFICIENCY

- Urine Specimen Logs for October and December 1997 indicated the results from the PharChem Laboratories were not noted on the institution forms to show positive or negative results. A Urine Specimen Log for November 1994 could not be located.
(PS 5511.2, CH 20)

OTHER DEFICIENCIES

- Personal property issued to inmates in administrative detention is logged in a bound ledger. The BP-383, Inmate Personal Property Inventory, must be used when any property is issued. (PS 5511.2, CH 15)

- Contingency plans do not contain current telephone numbers and staff names to contact in case of an emergency. (PS 5511.2, CH 17)

Operational Review by:

Becky Rodriguez, R.I.C. (ISM)

Date

Review Team Members:

Tom Davis, Chief Correctional Supervisor
Terri Brothers, Special Housing Supervisor

U.S. Department of Justice

Federal Bureau of Prisons

Washington, DC 20534

August 1, 1999

MEMORANDUM FOR MARY WILSON, ASSOCIATE WARDEN, FCI MARFA, TEXAS

FROM: George Smith, Captain
FCI Marfa, Texas

SUBJECT: Follow-up Review Report
Correctional Services Operational Review
March 23-27, 1999

During the period of June 27-31, 1999, a follow-up review was conducted in Correctional Services. As Reviewer-In-Charge (R-I-C), I certify that the deficiencies identified in the Correctional Services Operational Review Report dated March 30, 1999, have been resolved, except those noted below, and that an adequate system of internal controls is in place to ensure continued compliance.

SIGNIFICANT FINDING

Significant Finding: Confiscation and Disposition of Inmate Property

We have trained all lieutenants in the proper methods for confiscating and disposing inmate property. We have assigned a staff member to organize and dispose of all existing contraband items. We have designated, on a quarterly basis, a lieutenant to have primary responsibility for the property room.

REPEAT DEFICIENCY

Procedures have been established and are in place to ensure that all Urine Specimen Log entries are completed and filed properly. We also established procedures to ensure that all laboratory results are documented properly. The follow-up review revealed that the results are being recorded in the appropriate documents.

SUMMARY

All discrepancies identified in other sections of the Operational Review Report were also reviewed to ensure compliance. Based on our limited follow-up review, we believe the controls are adequate to ensure continued compliance.

Follow-up Review Team:

George Smith, Captain
Joe Key, Correctional Supervisor
John Jones, Senior Officer Specialist

U.S. Department of Justice

Federal Bureau of Prisons

****THIS SAMPLE IS TO BE USED FOR
REVIEWS WITH FEW DEFICIENCIES***

Washington, DC 20534

August 1, 1999

MEMORANDUM FOR MARY WILSON, ASSOCIATE WARDEN, FCI MARFA, TEXAS

FROM: George Smith, Captain
FCI, Marfa, Texas

SUBJECT: Follow-up Review Report
Correctional Services Operational Review
March 23-27, 1999

During the period of June 27-31, 1999, a follow-up review was conducted in Correctional Services. As Reviewer-in-Charge I certify that the deficiencies identified in the Correctional Services Operational Review dated March 30, 1999, have been resolved, except the one noted below, and an adequate system of internal controls is in place to ensure continued compliance.

Deficiency: Approved locking devices have not been installed on the entrance to the SIS office as part of the relocation.

Corrective Action: The relocation of the SIS office is approximately 90 percent complete. The required locks have been ordered and delivery is expected within 30 days. They will be installed immediately after they are received.

SUMMARY

All discrepancies identified in other sections of the Operational Review Report were also reviewed to ensure compliance. Based on our limited follow-up review, we believe the controls are adequate to ensure continued compliance.

Follow-up Review Team:

George Smith, Captain
Joe Key, Correctional Supervisor
John Jones, Senior Officer Specialist

U.S. Department of Justice

Federal Bureau of Prisons

Washington, DC 20534

August 1, 1999

MEMORANDUM FOR RODNEY RAMER, WARDEN, FCI MARFA, TEXAS

FROM: Mary Wilson, Associate Warden (O)
FCI Marfa, Texas

SUBJECT: Request for Operational Review Closure
Correctional Services Operational Review
March 23-27, 1999

We have completed our follow-up review conducted the week of June 27-31, 1999, for the Correctional Services Operational Review. The Follow-Up Review Report from George Smith, Captain, providing certification of correction is attached for your review.

I hereby certify that I have reasonable assurance that all deficiencies noted in the Correctional Services Operational Review Report, dated March 30, 1999, have been corrected (except as noted) and that adequate administrative controls are in place to prevent recurrence. I am requesting that the operational review be closed.

U.S. Department of Justice

Federal Bureau of Prisons

Washington, DC 20534

August 31, 1999

MEMORANDUM FOR MARY WILSON, ASSOCIATE WARDEN (O)
FCI MARFA, TEXAS

FROM: Rodney Ramer, Warden, FCI Marfa, Texas

SUBJECT: Closure
Correctional Services Operational Review
March 23-27, 1999

I have reviewed your memorandum dated August 1, 1999, requesting the above referenced operational review be closed. The Follow-up Review Report and your certification indicate all deficiencies have been resolved.

Your request for closure is granted. Please thank your staff for their efforts in correcting the deficiencies cited in the operational review. Please retain the working papers and associated correspondence in your files for your next program review.

U.S. Department of Justice

Federal Bureau of Prisons

Washington, DC 20534

September 15, 1998

MEMORANDUM FOR SETH ADAMS, DIRECTOR
BUREAU OF PRISONS

FROM: Karen Madison, Assistant Director
Correctional Programs Division

SUBJECT: Year-End Internal Control Assurance Report

I have evaluated the overall system of internal controls for the Correctional Programs Division for fiscal year 1998 as directed by Policy Statement 1210.18.

Based on the findings of program reviews, operational reviews, special reviews, and staff assistance visits, all indications are that existing and new program activities in the Division are effectively and efficiently managed to achieve the goals of the agency. I am providing reasonable assurance that government resources are protected against fraud, mismanagement or misappropriation.

cc: Senior Deputy Assistant Director, Program Review Division